



Investors Exchange Product Regulatory Circular 2017 - 0001

Date: January 6, 2017
To: Investors Exchange Members
From: IEX Regulation
Subject: Notice Regarding Filing of Annual Audited Reports

This Regulatory Circular is being issued to remind Investors Exchange LLC ("IEX") Members of their obligation under SEC Rule 17a-5(d) to file annual reports with all self-regulatory organizations to which such Members belong. SEC Rule 17a-5(d)(6) states:

The annual audit report must be filed at the regional office of the Commission for the region in which the broker or dealer has its principal place of business, the Commission's principal office in Washington, DC, the principal office of the designated examining authority for the broker or dealer, and with the Securities Investor Protection Corporation ("SIPC") if the broker or dealer is a member of SIPC. Copies of the reports must be provided to all self-regulatory organizations of which the broker or dealer is a member, unless the self-regulatory organization by rule waives this requirement.

All IEX Members are required to submit their annual audit reports to IEX in electronic form via FINRA's Firm Gateway, regardless of which self-regulatory organization is the Member's Designated Examining Authority. Members will use their current FINRA entitlement user ID and password to access the Firm Gateway and submit their annual audit reports. Further information regarding the FINRA Firm Gateway is available on FINRA's website [here](#). Questions related to the Firm Gateway may also be directed to the FINRA Gateway Call Center at 301.869.6699.

Annual audit reports must be filed not more than sixty (60) days after the Member's fiscal year end pursuant to SEC Rule 17a-5(d)(5). Additional information regarding 2017 and First Quarter 2018 report filing due dates may be found [here](#).

Please contact IEX Regulation at 646-343-2042 with any inquiries regarding this Regulatory Circular.